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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/765,488	01/18/2001	Robert L. Bradee	C543.12-1	9879
7590	10/05/2005		EXAMINER	
David R. Fairbairn Kinney & Lange, P.A. THE KINNEY & LANGE BUILDING 312 South Third Street Minneapolis, MN 55415			DADA, BEEMNET W	
			ART UNIT	PAPER NUMBER
			2135	
DATE MAILED: 10/05/2005				

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/765,488

Applicant(s)

BRADEE, ROBERT L.

Examiner

Beemnet W. Dada

Art Unit

2135

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 12 July 2005.
- 2a) ☐ This action is FINAL. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-8, 10-13 and 15-26 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-8, 11-13 and 15-26 is/are rejected.
- 7) ☒ Claim(s) 10 is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_

AT

### **DETAILED ACTION**

1. The request filed on July 12, 2005 for a request for Continued Examination (RCE) under 37 CFR 1.114 based on parent Application 09/765,488 is acceptable and an RCE has been established. Claims 1, 4-8, 10-13, 15, 16, 18, 23 and 26 have been amended and claims 9 and 14 have been cancelled. Claims 1-8, 10-13 and 15-26 are pending.

#### ***Claim Rejections - 35 USC § 112***

2. The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

3. Claim 1 recites the limitation "the data store" in line 4. There is insufficient antecedent basis for this limitation in the claim.

#### ***Claim Rejections - 35 USC § 103***

4. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

5. Claims 1-8 and 13 are rejected under 35 U.S.C. 103(a) as being unpatentable over Moriconi et al (hereinafter Moriconi), US Patent 6,158,010, in view of Goldberg et al (hereinafter Goldberg), US Patent 5,748,890.

6. As per claim 1, Moriconi discloses a method of providing computer application security (see for example, abstract), comprising: identifying secured resources within a software

Art Unit: 2135

applications (see for example; col 6 ln 4-15); grouping secured resources into user roles in a plurality of data stores on multiple platforms (see for example col 6 ln 64-col 7 ln 3, and column 3, lines 57-67), lines creating a plurality of surrogate identifiers in a data store, each surrogate identifier being associated with one user role (see for example; col 7 ln 66-col 8 ln 6). Each local role is mapped to a global role. Furthermore, in computer programming, an identifier must be assigned to identify such a role. One of ordinary skill in the art at the time of the applicant's invention would have realized the surrogate identifier needing to be present in order to identify the global role in the computer programming art. Moriconi further discloses associating users with user roles, each user being associated with one user role; (see for example col 6 ln 64-col 7 ln 3) and determining access rights to the secured resources for each user (see for example col 8 ln 23-32) according to an identifier (see for example; subject col 8 ln 23-27).

As for the determining according to a corresponding surrogate identifier without disclosing the corresponding surrogate identifier to the user, the corresponding surrogate identifier being associated with one user role of the user. Moriconi further discloses that access rights are determined according to a request consisting of a privilege, an object, and a subject (see for example; col 8 ln 23-27) and that a subject comprises of a user role (see for example; col 6 ln 64-67). One of ordinary skill in the art at the time of the applicant's invention would have realized the combination of using a surrogate (global role) identifier as the subject for making such access requests. Access determination is well known in the art to provide the advantages of simplifying processing of user identification and access credential mappings by reducing the amount of identifiers to be mapped.

As for determining without disclosing the corresponding surrogate identifier, Moriconi disclose a systems administrator for performing security policies (see for example, col 11 ln 50-

65), but is silent on the means of associating users to user roles. Goldberg teaches a system for associating users with a user role, each user being associated with a surrogate identifier [column 3, lines 13-47], further including authenticating a computer user as a valid user with one of a plurality of security providers [column 6, lines 51-54], authorizing the user to access one of secured resources with one of a plurality of security providers [column 7, lines 4-17] and receiving permission request from a security broker with one of the security providers [column 7, lines 4-17]. Both Moriconi and Goldberg discloses a means of authorizing a user to access resources. It would have been obvious to one of ordinary skill in the art at the time of the applicant's invention to combine the teachings of Goldberg within the system of Moriconi because it would have provided a secure and organized means of associating users to a user role and made the process of authorizing a user simpler.

7. As per claim 13, Moriconi discloses a method of providing computer security (see for example, abstract), comprising: securing a plurality of resources within a software application (see for example; cot 6 ln 4-15); identifying secured resources within a software applications (see for example; cot 6 ln 4-15); selecting some of the plurality of resources (see for example; cot 6 ln 23-27 and cot 9 ln 23-60; the resources are secured based on a security policy, therefore the plurality of resources are selected based on the security policy); grouping secured resources into user roles in a data store (see for example cot 6 ln 64-col 7 ln 3); creating a plurality of user names (see for example; col 6 ln 64-73) and aliases in the data store (see for example; cot 7 ln 12-25) and each alias being associated with the same one user role (see for example; user roles; cot 6 ln 64col 7 ln 5). When using user roles, user names must also be created to identify individual users to the role, such that a policy manager can manage the users in each user role (see for example; cot 12 ln 53-62).

Moriconi further discloses determining access privileges to the plurality of resources using an alias corresponding to a user name by virtue of the same one user role from one of the plurality of data stores on different platforms (see for example; col 8 ln 23-31). The alias has the same access rights (privileges) corresponding to the user (see for example; col 7 ln 13-24). The access rights are determined by the user role associated with the user (see for example cot 7 ln 55-57), therefore the alias also corresponds to the user role of the user name.

Moriconi further discloses authenticating the user as a valid user (see for example; col 4 ln 1-18), authorizing the user to access one of the secured resources in the software application (see for example; col 8 ln 2332). As for replicating the plurality of resources, the user roles, the plurality of user names and the plurality of aliases in a plurality of data stores, Moriconi further discloses servers for maintaining users (see for example col 7 ln 5-8). Moriconi is silent on replicating the plurality of resources, the user roles, the plurality of user names and the plurality of aliases in a plurality of data stores. Goldberg teaches a system including replicating the plurality of resources, the user roles, the plurality of user names and the plurality of aliases in a plurality of data stores [column 3, lines 13-47], further including authenticating a computer user as a valid user with one of a plurality of security providers [column 6, lines 51-54], authorizing the user to access one of secured resources with one of a plurality of security providers [column 7, lines 4-17] and receiving permission request from a security broker with one of the security providers [column 7, lines 4-17]. Both Moriconi and Goldberg discloses a means of authorizing a user to access resources. It would have been obvious to one of ordinary skill in the art at the time of the applicant's invention to combine the teachings of Goldberg within the system of Moriconi because it would have provided a secure and organized means of associating users to a user role and made the process of authorizing a user simpler.

8. As per claim 2, Moriconi further discloses identifying functions within the software application to be secured, the identified functions being secured resources (see for example, col 6 ln 4-14); and invoking a security call before permitting access to the secured resources (see for example; col 10 ln 42-51).

9. As per claim 3, Moriconi further discloses installing an embedded module in the software application to capture the security call (see for example; API, col 10 ln 42-51).

10. As per claim 4, Moriconi further discloses establishing in the data stores links to each secured resources (see for example; col 6 ln 23-31 and col 8 ln 64col 9 ln 4). One of ordinary skill in the art at the time of the applicant's invention would have realized the use of links as mapping to such resources in the database for performing criteria checking. Moriconi further discloses selecting links corresponding to related secured resources (see for example col 9 ln 3344); grouping the selected links into user roles (see for example; col 6 ln 64-col 7 ln 4); and storing the user roles in the data stores (see for example; col 9 ln 1-9).

11. As per claim 5, Moriconi further discloses establishing in the data stores links to each secured resources (see for example; col 6 ln 23-31 and col 8 ln 64col 9 ln 4). One of ordinary skill in the art at the time of the applicant's invention would have realized the use of links as mapping to such resources in the database for performing criteria checking. Moriconi further discloses selecting links corresponding to related secured resources (see for example col 9 ln 3344); grouping the selected links into privilege sets (see for example; col 6 ln 5163 and col 7 ln 55-58) grouping the privilege sets and links into user roles (see for example; col 6 ln 64-col 7 ln 4); and storing the user roles in the data stores (see for example; col 9 ln 1-9).

12. As per claim 6, Moriconi further discloses establishing in the data store links to each secured resources (see for example; col 6 ln 23-31 and col 8 ln 64col 9 ln 4). One of ordinary skill in the art at the time of the applicant's invention would have realized the use of links as mapping to such resources in the database for performing criteria checking. Moriconi further discloses selecting links corresponding to related secured resources (see for example col 9 ln 3344); grouping the selected links into privilege sets (see for example; col 6 ln 5163 and col 7 ln 55-58); grouping privilege sets an links into job functions (see for example col 6 ln 40-43); grouping job functions, privilege sets, and links into user roles (see for example; col 6 ln 64-col 7 ln 4); and storing the user roles in the data stores (see for example; col 9 ln 1-9).

13. As per claim 7, Moriconi further discloses associating a surrogate identifier with one user role in the data stores (see for example col 6 ln 64-66). As for replicating each surrogate identifier in the data stores of a security provider, Moriconi further discloses the use of multiple security providers for increased performance (see for example; col 11 ln 9-17). One of ordinary skill in the art at the time of the applicant's invention would have realized the need to replicate each surrogate identifier in each data store of a security provider so that proper user identification can be maintained in a plurality of security providers.

14. As per claim 8, Moriconi discloses the claimed limitations as described above. Moriconi further discloses associating users with one user role (see for example col 6 ln 64-col 5 ln 3) and Goldberg teaches a system for associating users with a user role, each user being associated with a surrogate identifier [column 3, lines 13-47]



15. Claims 11-12 are rejected under 35 U.S.C. 103(a) as being unpatentable over Moriconi et al (hereinafter Moriconi) US Patent 6,158,010, in view of Goldberg et al. US Patent 5,748,890, and further in view of Wobber, US Patent 5,235,642.

16. As per claim 11, Moriconi further discloses invoking programmatically, an embedded component within the software application when a secured resource is accessed (see for example col 11 ln 7-17); passing a resource name identifying the secured resource through the embedded component to a platform coordinator (see for example; col 8 ln 23-31 and col 10 ln 64-66), retrieving the user surrogate identifier associated with the user role from the data store (see for example; col 8 ln 23-31); passing the surrogate identifier and the resource name from the security broker to the security provider (see for example; col 8 ln 23-31); evaluating automatically the surrogate identifier against one of the data stores of the security provider (see for example, col 8 ln 23-31), determining automatically permissions associated with the surrogate identifier on plurality of security providers (see for example; col 8 ln 23-31 and col 13 ln 14-55); and relaying the access rights to the software application through the embedded component (see for example; col 8 ln 25-31 and col 7 ln 7-17). The relaying of access rights is inherent to pass authorization to the application requesting authorization credentials.

Moriconi-Goldberg is silent on the specific authentication means of user. Wobber et al discloses an authentication means including retrieving a token (record) from a cache (see for example; col 6 ln 7-22); passing the token to another server (see for example; col 7 ln 20-50); and comparing the authentication token against the cache on the server to identify a matching authentication token (see for example; col 7 ln 21-65). As for the token being associated in the cache with the surrogate identifier, one of ordinary skill in the art at the time of the applicant's

invention would have realized that the use of tokens with the Moriconi-Goldberg combination would have resulted in the need to map the token to the proper surrogate identifier so that the appropriate user and corresponding access rights are identified. Moriconi-Goldberg and Wobber disclose a means of user authentication and authorization to resources. It would have been obvious to one of ordinary skill in the art at the time of the applicant's invention to combine the teachings of Wobber within the Moriconi-Goldberg combination because it would have provided a means of granting authentication and access to resources in a quicker means through the use of tokens in a cache (see for example; Wobber, col 2 ln 5-23).

As for the use of an authentication token with a time stamp in a cache of the security broker and permissions token with a time stamp on the platform coordinator, Wobber further discloses a time-stamp associated with the token for limiting the validity of the token (see for example; col 6 ln 23-39). Authentication tokens refer to a data structure for use in authenticating a user. The record of Wobber (see for example col 6 ln 23-50) also refers to a data structure used for authenticating and authorizing users. Therefore, one of ordinary skill in the art at the time of the applicant's invention would have realized that such a record of Wobber correspond to the authentication token. Access credentials are well known in the art to vary on systems and by time through the policy set by a system administrator. The use of a time-stamp to limit the validity of tokens according to time would have improved security by making tokens that were valid before the new policy was created invalid and thus denying access to a potential unauthorized user. It would have been obvious for one of ordinary skill in the art at the time of the applicant's invention to use the token associated with a timestamp of Wobber within the Moriconi-Goldberg combination because it would have added extra security by putting a time-limit on the validity of the token.

As for relaying the permissions token to the platform coordinator, Wobber further discloses relaying the token to a client for future authentication (see for example, col 7 ln 5-63). When using such tokens in the Moriconi-Goldberg combination, one of ordinary skill in the art at the time of the applicant's invention would have realized the relaying of permissions token in place of the authentication response.

17. As per claim 12, Moriconi further discloses invoking programmatically, an embedded component within the software application when a secured resource is accessed (see for example col 11 ln 7-17); passing a resource name identifying the secured resource through the embedded component to a platform coordinator (see for example; col 8 ln 23-31 and col 10 ln 64-66); and relaying the access rights to the software application through the embedded component (see for example; col 8 ln 25-31 and col 7 ln 7-17). The relaying of access rights is inherent to pass authorization to the application requesting authorization credentials.

Furthermore, Goldberg teaches associating users with a user role, each user being associated with a surrogate identifier [column 3, lines 13-47], further including authenticating a computer user as a valid user with one of a plurality of security providers [column 6, lines 51-54], authorizing the user to access one of secured resources with one of a plurality of security providers [column 7, lines 4-17] and receiving permission request from a security broker with one of the security providers [column 7, lines 4-17].

Moriconi-Goldberg is silent on the tokens being on a cache. Wobber discloses the use of tokens on a cache (see for example col 7 ln 5-63) to expedite the access validation of a user gaining access to a resource (see for example; col 2 ln 5-23).

Moriconi-Goldberg and Wobber disclose a means of user authentication and authorization to resources. It would have been obvious to one of ordinary skill in the art at the

Art Unit: 2135

time of the applicant's invention to combine the teachings of Wobber within the Moriconi-Goldberg combination because it would have provided a means of granting authentication and access to resources in a quicker means through the use of caching tokens (see for example; Wobber, col 2 ln 5-23).

As for retrieving an authentication token from a cache on the platform coordinator, Moriconi discloses authenticating a user (see for example; col 4 ln 117). Wobber further discloses tokens (records) for authenticating valid users (see for example; col 6 ln 7-50). Furthermore, tokens are well known in the art serve as a means for ensuring authentication users before access to resources are granted. It would have been obvious for one of ordinary skill in the art to use such an authentication token in the Moriconi-Goldberg combination because it would have provided increased security through extra validation of an authenticated and authorized user of such a resource.

18. Claims 15-16 rejected under 35 U.S.C. 103(a) as being unpatentable over Moriconi et al (hereinafter Moriconi), US Patent 6,158,010 in view of Goldberg et al US Patent 5,748,890 and further in view of Wu et al (hereinafter Wu), US Patent 5,774,551.

19. As per claim 15, Moriconi-Goldberg does not explicitly teach a specific authentication means. Wu discloses a means of authenticating a user comprising: retrieving a user identifier (see for example; col 17 ln 30-33); passing the user identifier to a security provider (see for example; col 17 ln 34-59); verifying the user identifier against one of the plurality of data stores on one of a plurality of security providers (see for example; col 17 ln 50-59). As for returning an encrypted authentication token, Wu further discloses that the authentication tokens are encrypted (see for example; col 10 ln 63-65) and that user's authentication token are stored

after users are authenticated (see for example; col 2 ln 23-25). The means of obtaining an authentication token for later use is well known in the art to be needed to establish a valid authentication token. One of ordinary skill in the art at the time of the applicant's invention would have realized the returning of authentication tokens for future use after the user is initially authorized. It would have been obvious for one of ordinary skill in the art at the time of the applicant's invention to combine the teachings of Wu within the system of Moriconi-Goldberg because it would have provided a means of authenticating a user in a quick and secure manner wherein subsequent verification can be expedited from the use of authentication tokens,

20. As per claim 16, Moriconi further discloses capturing a security call from the software application, the security call containing a name identifying a secured resource (see for example; col 8 ln 23-31); retrieving one of the plurality of aliases from the data store of the security broker, the retrieved alias corresponding to the user identifier (see for example; col 8 ln 23-31). The alias corresponds to a user, thus corresponding to a user identifier (see for example; col 7 ln 12-25). Moriconi further discloses passing the retrieved alias to a security provider (see for example; col 10 ln 33-col 11 ln 5); and verifying the alias against one of the plurality of data stores on the security provider (see for example; col 13 ln 14-32) to determine access rights to the secured resource (see for example col 13 ln 25-32).

Moriconi does not explicitly teach an encrypted permissions token. Wu discloses encrypted tokens for determination of access credentials (see for example; col 17 ln 35-59 and col 19 ln 21-37) and that tokens contain a plurality of information pertaining to the user (see for example; col 2 ln 8-23). The use of tokens is well known in the art to ensure the validity of a user and for expediting user access time in subsequent access requests. It would have been obvious to one of ordinary skill in the art at the time of the applicant's invention to combine the

Art Unit: 2135

encrypted tokens of Wu within the system of Moriconi-Goldberg because it would have provided an increase in security through an extra layer of validity of a user and expedited subsequent requests to the same resource.

21. Claim 17 is rejected under 35 U.S.C. 103(a) as being unpatentable over Moriconi et al (hereinafter Moriconi), US Patent 6,158,010, in view of Goldberg et al US Patent 5,748,890 and further in view of Wu et al (hereinafter Wu), US Patent 5,774,551, and further in view of Kausik et al, US Patent 6,263,446.

22. As per claim 17, Moriconi further discloses gathering information about a user for authorizing access to secured resources, from the group consisting of a digital signature (see for example; col 4 ln 1-16), a user name and password (see for example; col 61-col 2 ln 11) and hardware token (see for example, smart cards, col 4 ln 1-16) Smart cards are well known in the art to be a form of a hardware token.

As for software tokens, Moriconi-Goldberg-Wu does not explicitly teach such a software token. Kausik discloses a means of authentication and authorizing users using a software token (see for example; software wallet, col 1 ln 45-55 and col 4 ln 1-17). Software tokens are well known to be a secure means of authorizing users to access credentials (see for example; Kausik, col 1 ln 45-55). It would have been obvious to one of ordinary skill in the art at the time of the applicant's invention to combine the teachings of Kausik within the Moriconi-Goldberg-Wu combination because it would have provided a means of using secure and valid data in authorizing access to secured resources.

23. Claims 18, 19, 21-24, and 26 are rejected under 35 U.S.C. 103(a) as being unpatentable over Boitana, US Patent 5,305,456, in view of Goldberg et al. US Patent 5,748,890.

24. As per claim 18, Boitana discloses a computer security system comprising: a plurality of computers workstations, each computer workstation having an operating system and software application installed (see for example; col 10 ln 9-25 and fig 3A and fig 6), the software application containing an embedded component (see for example; application control component, col 5 ln 54-62); a plurality of security providers on different platforms, each security provider having a security data store (see for example; col 6 ln 15-25). Security providers, such as RACF, are well known in the art to include data store to hold user access credentials for use in authorizing users a security broker, each security broker, having a data store, see for example (col 7 ln 67-col 8 ln 9), the security broker being a computer in network communication with the computer workstations and the security providers (see for example; Intermediate Security Transactions, fig 6), wherein each computer workstation is capable of communicating with each security broker; and wherein each security broker is capable of communicating with each security provider (see for example; fig 6).

Boitana does not explicitly teach a plurality of security brokers. Goldberg teaches a plurality of security providers for authenticating a computer user, authorizing permissions available to the computer user, and receiving permissions request, each security provider having a security data store containing data related to authentication and authorization and a security brokers routing permissions requests to one of the security providers and for determining access rights to secured resources in the software application based on the permissions received from one of the security providers [column 7, lines 4-27, 41-49].

It would have been obvious to one of ordinary skill in the art at the time of the applicant's invention to combine the teachings of Goldberg within the system of Boitana because it would have provided greater performance and reliability of the system due to shared processing.

25. As per claim 19, Boitana-Goldberg discloses the claimed limitations as described above (see claim 18). As for a platform coordinator, Moraine further discloses an application control interface for routing permissions requests to security brokers (see for example; col 10 ln 41-51 and col 11 ln 6-17). Therefore, one of ordinary skill in the art at the time of the applicant's invention would have realized the platform coordinator to be present in such applications for the routing to be carried out.

26. As per claim 21, Boitana-Goldberg discloses the claimed limitations as described above (see claim 18). Boitana further discloses routing permissions requests programmatically to the security providers (see for example; col 10 ln 56-63), each security provider being capable of routing permissions requests to any one of the security providers (see for example; col 10 ln 56-63). Boitana does not explicitly teach the routing such that if one security provider is unavailable, the security broker can route permissions requests to another security provider.

27. As per claim 22, Boitana-Goldberg discloses the limitations as described above (see claim 18). Boitana further discloses administration utilities for configuring, updating, maintain the data store and the security data store (see for example; col 4 ln 5-33). Boitana does not explicitly teach a single software application for maintaining user identifiers, setting and changing permissions, creating security events, and tracking system usage and security events within the security system.



28. As per claim 23, Boitana discloses a mean of authorizing access rights to secured resources in a software application comprising: authenticating a computer user to a computer security provider via a user identifier corresponding to the computer user (see for example; col 6 ln 4-25), the computer security provider returning a result to a security broker according to the user identifier, the computer security provider being one of a plurality of security providers on different platforms (see for example; col 6 ln 18-25), storing the result on the security broker (see for example; col 6 ln 20-25). Boitana further discloses retrieving user information from the security broker (see for example col 6 ln 25-36) and computer security provider returning surrogate permissions to the security broker, the surrogate permissions corresponding to the user identifier (see for example; col 8 ln 45-65), the surrogate permissions for determining access rights to secured resources in the software application according to the surrogate permissions (see for example, col 8 ln 60-65).

Boitana does not explicitly teach retrieving a surrogate identifier from the security broker, the surrogate identifier corresponding the result, and the surrogate identifier being undisclosed to the computer user. Goldberg further discloses a surrogate identifier [column 6, lines 55-65], further including authenticating a computer user as a valid user with one of a plurality of security providers [column 6, lines 51-54], authorizing the user to access one of secured resources with one of a plurality of security providers [column 7, lines 4-17] and receiving permission request from a security broker with one of the security providers [column 7, lines 4-17]. Both Boitana and Goldberg disclose a means of authenticating and authorizing a user to a secured resource. It would have been obvious to one of ordinary skill in the art at the time of the applicant's invention to use such surrogate identifiers of Goldberg within the system of Boitana to provide

an efficient means of identifying users across different platforms wherein each platform may have a user under a different identifier.

29. As per claim 24, Boitana-Goldberg discloses the limitations as described above (see claim 23). Boitana further discloses passing the identifier to a security manager (see for example, col 6 ln 20-25); querying for the identifier in a permissions list on the security provider using the security manager (see for example; col 6 ln 20-25); determining surrogate permissions for the identifier according to the permissions list; and returning the surrogate permissions to the security broker (see for example; col 10 ln 41-55). The security providers, such as RACF, are well known in the art to incorporate a security manager to manage querying and determining of the result according to a permissions list (access credentials). Therefore, one of ordinary skill in the art at the time of the applicant's invention would have realized such a security manage and steps of authorizing with a security provider as being incorporated in the well known security providers of Boitana. Furthermore, Boitana discloses the authorizing of a user identifier. The surrogate identifier taught by Goldberg and the authorizing of surrogate identifiers to a security provider in place of user identifiers is described above (see claim 23).

30. As per claim 26, Boitana-Goldberg discloses the claimed limitations as described above (see claim 23). Boitana further discloses passing the identifier to a security manager (see for example, col 6 ln 20-25); querying for the identifier in a permissions list on the security provider using the security manager (see for example; col 6 ln 20-25); determining validity of the user identifier according to the authentication list; and returning the result to the security broker (see for example; col 10 ln 41-55). The security providers, such as RACF, are well known in the art to incorporate a security manager to manage querying and determining of the result according

to a permissions list (access credentials). Therefore, one of ordinary skill in the art at the time of the applicant's invention would have realized such a security manage and steps of authorizing with a security provider as being incorporated in the well known security providers of Boitana.

31. Claims 20 and 25 are rejected under 35 U.S.C. 103(a) as being unpatentable over Boitana, US Patent 5,305,456, in view of Goldberg et al US Patent 5,748,890, and further in view of Wobber et al (hereinafter Wobber), US Patent 5,235,642.

32. As per claim 20, Boitana-Goldberg discloses the claimed limitations as described above. Boitana-Goldberg does not explicitly teach authentication tokens to retrieve a surrogate identifier. Wobber discloses the use of tokens on a cache (see for example col 7 ln 5-63) to expedite the access validation of a user gaining access to a resource, wherein the token is used to access a user identifier (see for example; col 2 ln 5-23).

It would have been obvious to one of ordinary skill in the art at the time of the applicant's invention to combine the teachings of Wobber within the boitana-Goldberg combination because it would have provided a means of granting authentication and access to resources in a quicker means through the use of caching tokens (see for example; Wobber, col 2 ln 5-23).

33. As per claim 25, Boitana-Goldberg discloses the claimed limitations as described above. Boitana further discloses passing the surrogate permissions from the security broker to a platform coordinator (see for example; col 8 ln 4559); relaying the surrogate permissions to an embedded component within the software application (see for example; col 8 ln 60-65); and interpreting the surrogate permission using to permit or deny access rights to the secured

Art Unit: 2135

resource (see for example; col 8 ln 60-65 and col 10 ln 56-63; a platform coordinator must exist for such transmitting of access signals between different platforms).

As for a function within the software application, the function capable of interpreting the surrogate permissions, Boitana discloses means of interpreting the surrogate permissions in a software application (see for example col 8 ln 60-65). In order for such interpreting to be accomplished, one of ordinary skill in the art at the time of the applicant's invention would have realized that such a function is inherent to the teachings of Boitana for such interpreting.

As for storing the surrogate permissions with a time stamp in a cache on the platform coordinator, Boitana discloses storing the surrogate permissions (see for example, 8 ln 45-65 and col 10 ln 40-63). However, Boitana-Goldberg does not explicitly teach storing the surrogate permissions with a time stamp in a cache. Wobber discloses storing authorization data on a cache with a time-stamp (see for example; col 6 ln 23-50). It would have been obvious to one of ordinary skill in the art at the time of the applicant's invention to combine the teachings of Wobber within the Boitana-Goldberg combination because it would have would have provided a means of granting authentication and access to resources in a quicker means through the use of caching tokens (see for example; Wobber, col 2 ln 5-23).

### ***Allowable Subject Matter***

34. Claim 10 is objected to as being dependent upon a rejected base claim, but would be allowable if rewritten in independent form including all of the limitations of the base claim and any intervening claims.

### ***Response to Arguments***

35. Applicant's arguments filed on July 12, 2005 have been considered but are moot in view of the new ground(s) of rejection.

***Conclusion***

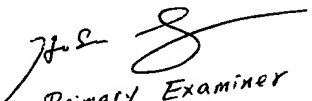
Any inquiry concerning this communication or earlier communications from the examiner should be directed to Beemnet W. Dada whose telephone number is (571) 272-3847. The examiner can normally be reached on Monday - Friday (9:00 am - 5:30 pm).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Kim Y. Vu can be reached on (571) 272-3859. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Beemnet Dada

October 2, 2005

  
Primary Examiner  
Art Unit 2135